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ABSTRACT

The aim of the National Assessment of Educational Progress (NAEP) Supplementary Frame Assessment is to locate and assess samples of seventeen-year-olds no longer participating in the regular school curriculum. In this way a sample representative of the entire age group may be obtained for assessment purposes. Phase I of the study dealt with the acquisition of lists of eligible individuals from their high schools, while Phase II involves their location and assessment. Methods for obtaining changes of address, numerous field procedures for locating the individual, procedures for determining the individuals eligibility to take part in the assessment program upon the basis of stated criteria, and instructions for the administration of test packages, form the basis of this manual. Once located, the individual has to be persuaded to take part in the program, thus, interviewing techniques are stressed. Instructions are given for the administration of the Individual Screening Questionnaire (ISQ) - an inventory for eliciting background information, test packages and package supplements, and for the disbursement of incentive payments. The coding and gridding of questionnaires and assessment packages, other administrative tasks and methods of expense reimbursement are also outlined. Primary type of information provided by report: Procedures (Field Administration). (AEF)

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NATIONAL ASSESSMENT

OF

EDUCATIONAL PROGRESS

SUPPLEMENTARY FRAME ASSESSMENT

PHASE II MANUAL

TN 810 S65

SUMMER 1980

RESEARCH TRIANGLE PARK, NORTH CAROLINA 27709

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NATIONAL ASSESSMENT ADMINISTRATION CENTER

May, 1980

Greetings:

It is my privilege to welcome you to the team of interviewers participating in Year 11 of the Supplementary Frame segment of the National Assessment of Educational Progress (NAEP) program.

Because National Assessment uses an age definition rather than a grade definition in determining eligibility for in-school participation, a significant portion of the seventeen-year-old population is not enrolled in school when it is age-eligible for assessment. Supplementary Frame assessment is designed to insure coverage of this important portion of the population. The data which are collected during the Supplementary Frame assessment are integrated with data from the in-school assessment to estimate the performance of all 17-year-olds. Thus, Supplementary Frame assessment is an integral part of the total seventeen-year-old assessment and is as important as any phase of the program.

This summer, you will be involved in locating "selected" individuals, determining their eligibility, and administering National Assessment exercise packages to those found to be eligible. Detailed instructions on carrying out these procedures are contained in this manual. Please study the manual carefully, so that you fully understand your responsibilities. It is imperative that we locate and assess every possible eligible individual selected for Supplementary Frame assessment.

Donn Smith and Kirk Pate are the Project Coordinators for this important endeavor. They have been deeply involved with this aspect of the NAEP project and will provide the kind of leadership necessary for the success of the program.

I sincerely hope you find your work on this phase of National Assessment to be an interesting and challenging assignment. Best wishes for an enjoyable and productive summer.

Sincerely,

W. K. Grogan, Jr.

W. K. Grogan, Jr., Director
National Assessment Administration Center

(919) 541-6000 FROM RALEIGH, DURHAM AND CHAPEL HILL

MEMORANDUM

TO: All Supplementary Frame Field Interviewers

FROM: Donn Smith and Kirk Pate

SUBJECT: Phase II of the Supplementary Frame Assessment

We are glad to have you with us for the Supplementary Frame assessment.

This training manual has been designed to provide you with background information on the Supplementary Frame assessment, guidance on procedures to be used in the field, and instructions on the necessary administrative procedures. We have tried to incorporate into the manual suggestions made by District Supervisors and other survey research personnel at RTI who were involved with previous Supplementary Frame projects. It is hoped that you will find the contents of this manual helpful and adequate for your needs.

After you have thoroughly reviewed the manual, please do not hesitate to contact us if additional information is needed or you encounter a situation which is not specifically covered. You may reach us between 8:15 a.m. and 5:00 p.m. Eastern Daylight Time at RTI by calling (toll-free) 1-800-334-8571. On evenings and weekends we can be reached at:

919-851-5084 (Donn Smith)
919-851-7674 (Kirk Pate)

NATIONAL ASSESSMENT OF EDUCATIONAL PROGRESS
SUPPLEMENTARY FRAME ASSESSMENT
SUMMER 1980

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I. INTRODUCTION

The purpose of the National Assessment of Educational Progress is to provide the public with census-like information on the educational attainment of important sectors of the population. To provide the basic data each year, probability samples of 9-, 13-, and 17-year-olds are assessed in elementary and secondary schools across the United States.

Some 17-year-olds have no chance of being included in the in-school sample because they are not enrolled in school when in-school assessment occurs. They have either withdrawn from school or completed requirements for graduation earlier than others of their age group. Therefore, to insure that the National Assessment results are representative of the entire 17-year-old age group, a number of these "out-of-school 17-year-olds" must be identified, and a sample of those identified must be selected for assessment using acceptable probability sampling procedures. Acquiring lists of these individuals from schools and locating and assessing those individuals found to be eligible is known as the Supplementary Frame assessment. Phase I of the Supplementary Frame assessment involved the acquisition of the school lists and was completed during May, 1980. Phase II, which will occur during June and July of 1980, involves locating and assessing eligible individuals. Out-of-school 17-year-olds located and assessed through the Supplementary Frame assessment, together with those individuals assessed through regular in-school assessment, will provide the data necessary to represent the entire age group.

The early graduate and withdrawal lists compiled at the schools during Phase I have been forwarded to the Sampling Research and Design Center at

RTI. From these lists, individuals are randomly selected to be included in Phase II of the assessment. Your Phase II assignment will consist of locating selected individuals, determining which of those individuals are eligible to participate in assessment, and administering assessment packages to those individuals found to be eligible.

II. LOCATING THE SELECTED INDIVIDUALS

A. General

In all cases assigned to you, you will be provided with an Individual Screening Questionnaire (ISQ) on which the PSU* number, the School Number, the Individual Number, and the individual's name and last known address have been entered. If other pertinent information is available, it will also be included. Some individuals will still reside at the address given. Locating these persons should be a relatively easy task. Other individuals will not live at the given address. If relatives still reside there, finding the individual or a responsible member of his family should not be too difficult. If the individual's family no longer resides at the given address, locating the selected person can become a challenging task.

Information that will be of assistance in locating an individual can be accepted from almost any source; however, information concerning an individual's eligiblity status cannot. Eligibility information can be accepted from only three sources:

1. The individual himself.
2. An immediate, responsible family member who resides with the individual and who can provide reliable eligibility information.
3. An immediate, responsible family member who does not reside with the individual but who communicates with the individual on a regular basis and who can give reliable eligibility information.

Information pertaining to an individual's eligibility which is obtained from any other source should be considered as tentative and must be verified

*A primary sampling unit (PSU) is defined as a geographic area such as a county or several counties.

by one of the three sources listed above, preferably the individual himself.

It is extremely important that only reliable information be used when determining an individual's eligibility status. The restriction on the source of the relevant information is imposed to reduce the chance of an incorrect determination. If there is any doubt about the credibility of the eligibility information obtained from a family member, consider the information tentative and continue to attempt to contact the individual or another family member who can provide more reliable information. It is better to leave an individual's eligibility status undetermined than to base the determination on questionable information.

B. Importance of Locating Individuals

The importance of locating and/or determining the eligibility status of selected individuals cannot be overemphasized. Some of the reasons for stressing this aspect of the work are as follows:

1. The Supplementary Frame assessment is the sole source of data for the out-of-school 17-year-old population.
2. A high proportion of individuals in the "Never Located" category greatly reduces the confidence which can be placed in the data, since those individuals who are relatively hard to locate may be very different, on the average, from those easy to locate; consequently, bias may be introduced into the assessment results if Supplementary Frame assessment interviewers give up too soon.
3. The number of out-of-school 17-year-olds as estimated from previous Supplementary Frame assessments has consistently

been below Census-based estimates. This is believed to be due to incomplete reporting of dropouts and early graduates by the schools, or poor records which make compilation of complete lists impossible. This "built-in" loss is further compounded by any loss due to nonlocation of sample persons.

4. The number of sample persons selected for inclusion in the Supplementary Frame assessment is related to the expected proportion of persons located, and as this proportion is increased, the study can be conducted in a more cost efficient (everything else being equal) manner.

5. Supplementary Frame responses are used with in-school 17-year-old data to make overall estimates for 17's; therefore, Supplementary Frame work must receive the same conscientious effort as the regular in-school work.

C. Some Suggested Procedures For Locating Individuals

In an effort to determine the best methods and sources of information to use in locating an individual or a responsible member of his family, interviewers who were especially adept at locating people in previous years, RTI Survey Specialists, and agencies that offer locating and missing person services were consulted. The following are some of the suggested sources and methods which produced favorable results:

1. If no one at the last known address knows the individual, ask who lived there before the present occupants. The names and addresses of the former residents may be on mail still coming to that address (tax notices, magazines, church

newsletters, bills, etc.). If a church newsletter is still mailed to former occupants at that address, try to determine what church is sending the newsletter and contact that church secretary or clergyman for any information they may have concerning the former occupants. If bills are still mailed to former occupants at that address, the company sending the bill may have current information which they will share with you regarding the individual's new address.

2. Contact neighbors to see if they know the individual or the individual's family and where they reside. Remember that "neighbors" means not only the people next door but also those residing in other parts of the neighborhood. Try to find a family who has been in the neighborhood a long time rather than someone who just moved in. Also remember that while a neighbor may not know the individual, he may know someone who does know the individual or the individual's family.

3. Teenagers who live in the same community as the individual have proven in the past to be an exceptionally good source. Check at:

   (1) Pizza houses

   (2) Bowling alleys

   (3) The local swimming pool

   (4) Community centers

   (5) Recreation centers

   (6) Other places where local high school students may be; for instance, many high school students obtain

summer jobs as clerks in drugstores, hardware stores, fast-food restaurants, discount houses, and service stations.

4. Other selected individuals whom you have already located are an excellent source of information regarding their former classmates or other individuals from their community.

5. The local Post Office can provide help in locating individuals in the following ways:

   a. The clerk at the window may be able to provide valuable information.

   b. The local mail carrier may know the individual or his family.

   c. A letter may be mailed to the individual's last known address explaining the study and requesting that he/she contact you through a collect telephone call. First class mail is automatically forwarded.

   d. A similar letter as "c" above can be sent with the notation in the upper left hand corner "Address Correction Requested". The notation should be under your return address. If the letter is delivered, a card (U.S. Postal Service Form 3547) with the new address will be provided you by the Post Office for a cost of 25 cents. Specific instructions should be given the Post Office so that returned mailings and the address correction cards may be picked up regularly and reacted to immediately.

   e. You may purchase from the local Post Office "change of address" information for $1.00 for each address.

This service is offered by the Post Office Department under Postal Regulation No. 262.441 which states:

"Furnish the change of address of a postal customer upon request in accordance with section 262.5 and upon payment of fee stated in section 262.7"

6. Some interviewers call the school before starting to work the area. The school may be able to provide information not included on the ISQ. Also, being alerted, the principal or counselor and the secretary will be prepared to answer questions from inquisitive parents. Without such prior notification school officials may not associate questions they receive with the National Assessment ("A man is offering my son $20 to take some test"), and consequently, precipitate a refusal.

7. Inquire about the individual's address or his family's address at the neighborhood grocery store, service station, drugstore, church or community center.

8. It may be possible to find out from neighbors whether or not and where the individual is employed. If so, the employer should be able to direct you to the individual or supply you with a current address.

9. If you can determine where the individual last worked, that employer may be able to provide the address to which the last W-2 statement was mailed.

10. If the individual has a unique surname, you may trace the individual by telephoning other persons with the same name to see if they can provide information pertaining to the individual or his/her family.

11. Neighbors may not know the new residence of the individual or his family but may recall where the father, mother, or some other member of the family worked. This other family member might then be traced in order to obtain information about the selected individual.

12. If former employers or neighbors can provide you with names of any clubs, associations, or unions the individual or his/her parents belong to, these should be contacted for current addresses. Also, hobbies can provide leads; for instance, contact swim, sky-diving, scuba, or camping clubs for current addresses.

13. If the family has moved from the last known address, neighbors may recall the van lines used. The van lines will frequently have the new address.

14. Although it is almost too obvious to mention, do not fail to check recent issues of the telephone directory for a listing for either the individual or the parents. Also, call telephone directory service (Information) for possible listing of a new telephone number. Directories of neighboring towns and communities should be checked.

15. Check recent city directories or other address-telephone cross reference directories for family listing. Sometimes you can visit local Chambers of Commerce and look up the name in their directory or call and someone will look the name up for you. City directories are often kept at the

local library and at realty company offices. The names and addresses of neighbors of the individual may also be obtained from city directories and these neighbors may then be contacted.

16. Consult city directories for the past several years to determine the employers or specific occupations of the parents of the individual. If the occupations are specific such as nurseryman, painter, baker (as opposed to general such as truck driver or laborer), you might contact some businesses which offer the same type of employment the parent usually has and inquire if they know the parent. Often people become quite well known within a certain trade or business. Locating the parent, consequently, may lead you to the individual.

17. Parents of individuals may sometimes be traced through local utility companies. Power or water companies may also be able to provide the forwarding address of parents.

18. If you locate the individual's residence, but can never find the person at home, you may leave some descriptive material explaining the NAEP project in the door with your name and telephone number. Be sure to leave the telephone number where you can be reached.

19. Other possible sources:

    Voter registration lists

    Human Resources Development (HRD) offices

    Local state employment offices

    Apartment managers

    Police departments

    Local Armed Forces recruiters

20. Military personnel may be located by using the following procedures. When locating U.S. Army personnel contact the:

World Wide Army Locator Service
Washington, D. C.
(317) 542-4211

Give the name (in full) and the social security number (if available) of the person you are seeking and the U.S. Army locator will supply you with his/her present address. This service is provided for other branches of the military as well. When calling be sure to give the individual's name and social security number, if available. The numbers and corresponding branches are:

Air Force (202) 695-4803

Marine (202) 694-2380

For the Navy, you must write to Chief of Naval Operations, Washington, D. C. 20370 and request the information.

The methods and sources of information listed in this chapter should assist you in locating individuals who no longer reside at the last known address. Naturally, many of them will not apply to a particular case. It is essential, however, that you exhaust all possible leads in an attempt to locate the individual or a responsible member of his family before placing an individual in the "Never Located" category.

During a previous Supplementary Frame assessment, "double-mailer" postal cards were sent from the RTI central office to the last known addresses of 105 individuals who had been classified by the interviewer as "Could Not Locate". Respondents were asked to fill in their name, address, telephone number, and certain eligibility information, and return the card to RTI. Forty-two of those cards were returned (a total of 40 percent of those sent).

Obviously, these cases were not pursued thoroughly enough. Of those 42, 18 cards (42 percent) contained all of the information requested! Again, exhaust all possible leads before you place an individual in the "Never Located" category.

D. Methods Employed To Locate New Addresses

The methods employed to locate the new addresses of selected individuals who had moved from the address provided by their former school during a previous Supplementary Frame assessment are listed on the next page in order of success.

E. Public Relations Contacts

Finally, it may prove to be well worth your time to visit the local police department, Chamber of Commerce, and Better Business Bureau to identify yourself and briefly explain NAEP and your purpose in their community. Individuals may call these agencies to verify the legitimacy of the project which you represent. In fact, some individuals may refuse to participate until they receive such local verifications. If you make such a public relations contact, you should be sure to leave your name and some NAEP descriptive information with the agency. Requests for additional information should be referred to Donn Smith or Kirk Pate at RTI.

F. Verification of Field Work

Data collected during the Supplementary Frame assessment must be of the same high quality as that collected during in-school assessment. This level of quality is required by contractual agreement with National Assessment. To meet these contractual responsibilities, extensive verification

SUPPLEMENTARY FRAME ASSESSMENT

METHODS EMPLOYED TO LOCATE SELECTED INDIVIDUALS WHO DID

NOT RESIDE AT ADDRESS PROVIDED BY THE SCHOOL

Of the 1,704 individuals located, 707 were found at the address supplied by the schools on the ISQs and 997 had changed residence, or the address from the school was incomplete or missing. The following list indicates the most successful sources (from most to least frequent) used in locating the sample individual's new address:

1. Postal System (including address correction requests, letters explaining NAEP sent to old address requesting forwarding, and directions or information from postal clerk or mail carrier) - 198.

2. Family members at given address - 187.

3. Neighbors, friends, people on the street, or other respondents - 181.

4. Telephone and city directories - 127.

5. School records and personnel (including counselors, clerks, school crossing guards, school bus drivers, etc.) - 103.

6. Local stores, gas stations, grocery, teen hang outs, etc. - 82.

7. Present occupants at given address - 30.

8. Landlords, apartment managers or realtors - 22.

9. City and state offices (including police, fire, water departments, town halls, county judges, state correctional institutes, welfare and children's services, probation offices, and the Bureau of Indian Affairs) - 20.

10. Military base information - 17.

11. Previous employers - 9.

Many other potential sources were contacted; however, only those which most directly led to the individual have been included in this list.

procedures will be implemented during the Supplementary Frame assessment. Some of the items these procedures are designed to verify are:

1. Eligibility information, including identity of respondent, birthdate, and school enrollment for both eligible and ineligible individuals.
2. Information received from neighbors and relatives of the selected individuals.
3. Field procedures employed to locate individuals who were ultimately designated as "Could Not Locate".
4. Information obtained which yielded other "Final Results" such as: out of the country, non-English speaking, functionally disabled, refused, inaccessibility, temporarily away from home.
5. Information regarding package administration procedures such as:
   a. The assessment site and any distractions present during package administration.
   b. Thoroughness of the explanation received of National Assessment.
   c. Number of assessment packages taken and order of administration.
   d. Administration of the Background Questionnaire.
   e. Correct usage of the tape recorder.
   f. Whether the interviewer was present throughout the assessment.
   g. Time required for package administration.
   h. Payment of incentive including use of the "Respondent's Agreement".

Field work is verified by the central office supervisory staff by three different methods. Some verifications will be made by personal visits to the respondent's home. Additionally, some personal visits may be made to locate individuals classified as "Could Not Locate". Other verifications will be made by personal telephone calls. Finally, verification postcards will be routinely sent to randomly selected individuals from the ISQs assigned to each Field Interviewer.

III. INDIVIDUAL SCREENING QUESTIONNAIRE

A. General

You will receive an Individual Screening Questionnaire (ISQ)* for each person assigned to you for followup in the Supplementary Frame assessment. ISQs have been punched to fit into a three-ring loose-leaf binder. A binder of this type will be provided. The use of a binder for the ISQs and other forms yields the following advantages:

1. You can organize your ISQs in any way desired; i.e., by school, by geographic distribution, by PSU, etc. This prevents your having to search through ISQs to locate ones with nearby addresses or in the same area or PSU.
2. Your supply of production, itinerary, and expense reports can also be kept in the notebook for easy access. Production reports from previous weeks can also be kept in the notebook.
3. Maps, special contacts, and related materials can be placed in the binder.
4. Your I.D. card can be taped to the top center of the front of the notebook; this will save fumbling for your card at the door.
5. The notebook will provide a firm writing surface when you are completing the ISQ.

*An example may be found on pages 28-31.

The ISQ contains a heading and the following four parts:

1. Identifying Information
2. Field Procedures Employed in Locating Sample Individuals
3. Eligibility Information
4. Results of Field Procedures

The ISQ heading will contain PSU Number, School Number, Individual Number and frame designation. Frame number 2 "DO" indicates that the individual was a dropout and frame number 3 "EG" indicates that the individual was an early graduate. Additionally, the ISQ for dropouts will be white and for early graduates green. Identifying information will be entered at RTI. If an individual takes assessment packages, it will be necessary to transfer some of these critical numbers to other forms. Care must be exercised to insure accurate transcription of these numbers.

B. Identifying Information (Part I)

The name and last known address of the selected individual will be entered at RTI. If known, the parent's name, parent's address, and other information will also be entered by RTI. Parts I.A. and I.B. will be discussed in Section C.2. of this manual.

Your name will be entered at the bottom of the front page as Interviewer (first assignment). If the ISQ is later reassigned to another interviewer, the second interviewer's name will be entered on the Interviewer (reassignment) line.

C. Field Procedures Employed in Locating Sample Individuals (Part II)

1. Overview

Part II of the ISQ has been designed for you to record the exact procedures followed in attempting to locate the individual. Please be specific when recording this information. For example, a more specific entry than "Asked person for directions" would be "Obtained directions to individual's address from Arco Service Station attendant at corner of Sixth Avenue and Logan Boulevard". If more space is needed to record field procedures, please use a separate sheet (or sheets) of notebook paper identified by PSU, School, and Individual Numbers. Enclose the paper inside the ISQ. It is essential that all methods employed in attempting to locate an individual be documented in Part II.

If you find that neither the individual nor his family reside at the given address, you should begin your investigation procedures to locate the individual. Use any procedures listed in Chapter II.C. of this manual which apply, as well as any others which may produce favorable results. Record all procedures used in Part II.

2. Interim Results of Field Procedures

While attempting to locate and contact the sample individual, you may learn that the individual has moved. If so, record the new address or location information in Part I.A. of the ISQ. You should, of course, make every possible effort to obtain a specific forwarding address that will facilitate locating the individual in the new area; however, if a specific address cannot be obtained, enter the name of the place or city to which the person has moved. Also obtain any additional information that might be helpful to you or another interviewer in locating

the person at the new location. For example, it is helpful to know that the individual lives in a mobile home park, even if the name of the park or the specific address is unknown.

The action that you are to take after learning that an individual has moved to another area depends upon the distance to the new location. The following guidelines apply:

a. If the new location is less than 100 miles from the original PSU, you should go to the new area and continue the search yourself.

b. If the new location is 100 to 200 miles from the original PSU, check the Interim Results block (part IV-B of the ISQ). You should then call Donn Smith or Kirk Pate for further instructions on whether to go to the new area yourself or to return the ISQ to RTI. Indicate the instructions you receive from RTI by checking the appropriate "Results of Call" block in Part IV.B.

c. If the new location is more than 200 miles from the PSU, check the appropriate block in Part IV.B., terminate your search, and immediately return the ISQ to RTI. Make certain you have recorded the new address or location information on the ISQ in Part I.A. before returning it. Also, it is your responsibility to attempt to trace the individual by telephone to verify the new address or location before returning the ISQ tc RTI for reassignment.

When you obtain a new address or location information regarding a sample individual, you should also attempt to obtain the Eligibility Information. For example, if the brother of the individual informs you

that the sample individual has moved out of the area, you should inquire if he corresponds or communicates with the sample individual on a regular basis. If so, the brother may be considered an acceptable source of eligibility information and you should proceed with Part III of the ISQ. (If the brother is unduly vague in answering the questions in Part III, however, the information must be considered as tentative). If you obtain reliable information from an acceptable source that indicates the person is not eligible for the Supplementary Frame assessment, there would be no need to attempt to locate the person at his new location. In addition to Part III, remember to complete Parts I.B., and IV.A. and C. of the ISQ before returning it to RTI.

If, however, you obtain information that indicates the person is probably eligible, or even possibly so, attempts to locate the person will be continued.

Finally, if you have exhausted all possible sources and have not obtained a new address or any other information about the individual, check Box 1 in Part IV.A. and Box 08 of Part IV.C. and return the ISQ to RTI.

D. Eligibility Information (Part III)

1. Introduction

It is imperative that you have a thorough understanding of the eligibility requirements for the Supplementary Frame assessment before you begin your field work. To incorrectly classify an individual who is not eligible would constitute a serious waste of time, effort, and money. Conversely, the classification of an eligible person as being not eligible has serious sampling and analysis implications. In the latter instance, RTI would return the ISQ to you for followup; however, the availability and cooperation of the individual could constitute a major problem.

2. Age and Enrollment Criteria

The information at the top of the third page of the ISQ will be entered at RTI before it is mailed to you. The PSU, School, and Individual numbers, along with the frame designation, are the same as those identified on the first page. The "School Birthdate" is the date school records indicated the individual was born. If the school records did not contain the individual's birthdate, the words "not given" will be entered. The "Date Left School" is the date school records indicated the individual dropped out or completed graduation requirements.

To determine the eligibility of the individual, begin by asking Question III.A., "When were you (was person) born?" Record the response in the space provided (month, year). Sample individuals are selected only from among those with eligible birthdates on school records or from among those with no birthdate given. If you obtain birthdate information from a secondary source such as a family member, compare the date with that given by the school. If the birthdate given by the family member is outside the eligible range, while the school reported that the birthdate is within the eligible range, ask the family member if he/she is positive of the date given you. It is not uncommon for a person providing such information to be in error by one calendar year. However, do not attempt to lead the family member to the birthdate reported by the school; rather, explain that it is critical that you obtain the correct birthdate information, and inquire if there is some way of verifying the date by referring to a birth certificate, driver's license, health certificate, or some other source. If the family member cannot or will not provide supportive evidence, then the date provided by the family member should be accepted.

If no school birthdate has been entered, there is no reason to inquire about supportive evidence unless the respondent seems hesitant or unsure of the information he has given you.

The "Date Left School" is provided to assist you in locating the individual. Frequently, school personnel will be able to provide you with additional locating information if they know when the individual left school. Also, it will be helpful to know when the individual left school if you are attempting to verify that the individual merely transferred to another school.

After entering the individual's birthdate in the space provided, you should consult the box immediately below. The information inside the box is for your use only and is not to be asked of the respondent. If the individual was born October 1, 1962 through September 30, 1963, check box number 1 and then ask question B. However, if the birthdate is before October 1, 1962 or after September 30, 1963, check box number 2 and then complete Part IV. If the individual was not born during the period October 1, 1962 through September 30, 1963, he/she is ineligible.

When you determine that a selected individual's birthdate is in the eligible range, you should ask Question B., "Were you (was person) enrolled in a public or private elementary or secondary school anytime during March or April 1980?" If the answer is "Yes," the individual is not eligible. Part IV of the ISQ should be completed and it should be sent to RTI.

If the individual was born October 1, 1962 through September 30, 1963 and was not enrolled in school anytime during March or April 1980, he is eligible (unless he meets any of the special categories discussed in the next section).

For Question III.B., school enrollment is defined as being enrolled in any public or private elementary or secondary school. Individuals who attended vocational-technical high schools, continuation high schools, federal schools (on or near military bases, for instance) or Bureau of Indian Affairs schools would be considered enrolled. Question B on the ISQ should be checked "yes" if the individual was enrolled in a school of this type.

Question III.B. should be checked "no", however, if the individual was enrolled in:

a. College (including junior college).

b. Post-secondary vocational or technical schools or classes.

c. GED classes.

d. Adult basic education classes.

e. Special schools such as those at detention centers, prisons, youth training centers, rehabilitation centers, hospitals, etc.

If an individual is uncertain about whether a school officially considered him as being enrolled, the interviewer should ask, "Did you consider yourself enrolled at that time?". The individual's response to this question should be considered as the answer to Part III.B. The intent of the eligibility questions is to determine if an individual did or did not have a chance of being included in the in-school assessment phase of National Assessment. When asking the individual if he was enrolled, probe to determine the type of school in which he was enrolled so that eligibility can be accurately determined. Listen for peculiar "clue" words in the school's name such as "training", "detention", "youth", etc. Call Donn Smith or Kirk Pate at RTI if you are uncertain about the school enrollment of a particular individual.

If you obtained eligibility information from someone other than the individual, you will have completed Part I.B. and checked number 3 in Part IV.A. of the ISQ. You must verify with the individual his eligibility prior to package administration. After verifying the individual's eligibility, you should change Part IV.A. of the ISQ so that only "Sample Individual" (number 2) will be checked. It is not necessary to erase the information in Part I.B.

3. Other Eligibility Criteria

Part III.C. of the ISQ is for interviewer use only and is not to be asked of the respondent. If none of items 2-5 apply, the individual is eligible and box 1 should be checked. All individuals who meet the birthdate and enrollment criteria are eligible except:

a. Persons who currently reside outside the United States, including those in service who are stationed abroad or who are aboard ships at sea.

b. Physically or mentally handicapped persons who are so functionally disabled that they cannot respond to the exercises as presented.

c. Persons who do not speak, or read, or write English.

d. Nonreaders. A person can be classified as a nonreader only if he tells you he cannot read or if he demonstrates that he is a nonreader; never ask a person if he is able to read. If a person states that he cannot read very well, tell him that it is not necessary to read well, since in most instances the exercises are accompanied by a tape recording. If an individual is determined to be a nonreader after package administration has begun, you should:

(1) Terminate the session after the first package has been completed.

(2) Pay the respondent five dollars ($5).

(3) Leave Part III.C. of the ISQ as is (indicating eligibility).

(4) Part IV.C.03 should be checked as the final result.

(5) The Background Questionnaire should be coded and gridded as a nonreader.*

(6) A complete explanation should be included in Part II of the ISQ.

(7) The Package Condition Ovals should be gridded as "NE" and an explanation should also be written on the front page of the package.

IMPORTANT: Persons who are in one of the "other eligibility criteria" category (see preceding page) should be classified NOT ELIGIBLE and the appropriate box in III.C. should be checked. Also, check box number 03 in Part IV.C. on the last page and send the ISQ to RTI. You should be aware that inclusion in any one of these categories automatically renders a person NOT ELIGIBLE, even in the absence of birthdate or enrollment status information. For example, you may learn that a sample individual is in the military and is stationed overseas. If this information is reliable, it would not be essential to ascertain the birthdate and enrollment status information before declaring the individual not eligible, hence terminating your field work for the person. If the eligibility information is easily obtainable, you should record it, however.

*See Chapter V

Part IV.A. of the ISQ contains three boxes at the top of the page, one of which must be completed. In cases of improper completion of Part III of the ISQ, RTI may wish to contact the individual listed in Part I.B. This information will also be used if another interviewer is assigned the ISQ to resolve the incorrect eligibility classification. Moreover, as a quality control measure, RTI will contact randomly selected individuals listed in Part I.B. for verification of both the interview itself and the eligibility information.

To summarize, three key factors determine the eligibility of an individual. First, the individual must be age-eligible according to the definition found in Part III.A. of the ISQ. Second, during March or April, 1980, the individual must not have been enrolled in any public or private elementary or secondary school (ISQ, Part III.B.). Third, the individual must not be defined as ineligible due to one or more of the reasons listed in Part III.C. of the ISQ. If you are uncertain about the eligibility of an individual, you should call Donn Smith or Kirk Pate immediately.

E. Results of Field Procedures (Part IV)

Part IV is used to record the source of eligibility information, the interim results, and the final result.

1. Source of Eligibility Information

Part IV.A. must always be completed. If eligibility information is obtained from someone other than the sample individual, Part I.B. must also be completed. Eligibility information can be accepted only from those sources specified in Chapter II.A. of this manual.

2. Interim Results

The proper handling of Part IV.B. has been discussed earlier in Chapter III.C.2. of this manual.

3. Final Results

If the individual took one or more assessment packages, check result number 01. Then enter the package numbers and package I.D. numbers in the order in which they were completed. If fewer than three packages were completed, enter the package number(s) and package IDs completed and a zero in the other space(s). Then enter the serial number shown on the package assignment label (on the back of the envelope containing the packages). An example of a correct entry for a respondent who took only two packages (8 and 11) is shown below:

[✓|01] Completed packages 1/7189, 8/6782, /0

Serial Number 5847

For all other results, check the appropriate box. A word of caution is in order regarding final result [|05] . After the place of residence of a sample individual is determined, you must make at least four visits to the address (at various times of the day or evening) before the selected individual may be classified as a "Not at home" under final result [|05] .

If the final result does not clearly fit into one of the listed categories, or you are uncertain of the category to use, check the unnumbered block (last block) and give an explanation in the space provided. If additional space is needed for the explanation, continue at the bottom of the page or in the Field Procedures section, or as a separate sheet of paper.

An example of a properly completed ISQ is on the following pages.

O.M.B. No. 051-R-1204
Approval Expires 9/30/81

SUPPLEMENTARY FRAME ASSESSMENT - YEAR 11
INDIVIDUAL SCREENING QUESTIONNAIRE

This report is authorized by law (20 U.S.C. 1221 c-1). While you are not required to respond, your cooperation is needed to make the results of this survey comprehensive, accurate, and timely.

PSU No. [redacted] School No. [redacted] Individual No. 10

Frame 2. (DO) 3. EG School Name [redacted]

City [redacted] State [redacted]

I. IDENTIFYING INFORMATION

Name: [redacted]

Address: [redacted]

Parent's Name: [redacted]

Parent's Address: same as above

Other Information:

A. If the individual has a new address or location, enter the specific information here:

B. If the eligibility information in Part III was not provided by the sample individual, identify the source:

Name: [redacted]

Address: (same as above)

Phone: [redacted]

Relationship to Individual: Mother

Interviewer (first assignment) Emily Carlson

Interviewer (reassignment)

PAGE 29 OMITTED DUE TO CONFIDENTIALITY

PSU No. [redacted] School No. [redacted] Individual No. 10

Frame 2. (DO) 3. EG School Birthdate [redacted] month, [redacted] year

Date Left School December month, 1979 year

III. ELIGIBILITY INFORMATION

A. When were you (was person) born? April month, 1963 year

FOR INTERVIEWER USE - NOT TO BE ASKED OF RESPONDENT

Check one:
- [✓] 1 Born 10-1-62 to 9-30-63. Continue with B.
- [ ] 2 Born before 10-1-62 or after 9-30-63. NOT ELIGIBLE - Complete Part IV.

B. Were you (was person) enrolled in a public or private elementary or secondary school anytime during March or April 1980?

- [ ] 1 Yes - NOT ELIGIBLE - Complete Part IV.
- [✓] 2 No - Continue with C.

C. FOR INTERVIEWER USE - NOT TO BE ASKED OF RESPONDENT
(Check one, then continue with Part IV)

ELIGIBLE
- [✓] 1 None of items 2-5 applies.

NOT ELIGIBLE
- [ ] 2 Living out of the country, or stationed abroad.
- [ ] 3 Mental or physical handicap prevents participation.
- [ ] 4 Language barrier - does not speak English.
- [ ] 5 Nonreader.

Office Use Code		Col.
PSU #		1 2
SCH #		3 4 5
IND #		6 7
FR #	[redacted]	8
MO		9 10
YR		11 12
MO		13 14
YR		15 16
B	0 1 2	17
C	0 1 2 3 4 5	18
ELIG	1 2 3	19

IV. RESULTS OF FIELD PROCEDURES

A. Source of Eligibility Information (Must be completed)

- [ ] 1 Not Applicable - eligibility not determined
- [√] 2 Sample Individual
- [ ] 3 Other: (Complete I. B.)

B. Interim Results (If applicable)

- [ ] Person now 100-200 mi. from PSU - call RTI.

  Results of call:

  - [ ] Instructed to follow up directly.
  - [ ] Instructed to return ISQ to RTI.

  To be completed by RTI :

  [ ] 1 Reassigned [ ] 2 Not Reassigned

- [ ] Individual now more than 200 mi. from PSU - return ISQ to RTI.

  To be completed by RTI :

  [ ] 1 Reassigned [ ] 2 Not Reassigned

Enter New Location in I.A. (Be specific)

C. Final Results

- [√] 01 Completed Packages 1, 17189, 8, 16782, 10

  Serial Number [redacted]
- [ ] 02 Not eligible because birthdate is out-of-range, or was enrolled in school during March or April 1980.
- [ ] 03 Not eligible because individual is living out of the country, stationed abroad, mentally or physically incapable of participation, non-English speaking, or nonreader.
- [ ] 04 Individual located; refused screening or package administration.
- [ ] 05 Individual's residence located, but cooperation not obtained after repeated callbacks.
- [ ] 06 Individual's usual residence located, but person is away temporarily (vacation, transient work, etc.) and has no specific temporary address. Not expected to return within field work period.
- [ ] 07 Individual is inaccessible (incarcerated, etc.)
- [ ] 08 Individual's current residence never located.
- [ ] Other result not covered above. Explain _____

Office Use		
Code		Col.
A	1	20
	2	
	3	
REASSIGNED	0	
	1	21
	2	
FIN. RES.		22
		23
PACKAGES		25
		26
		27
		28
		29
SERIAL		30
		31
		32
		33
YR	1	74
	1	75
PROJECT	2	76
	0	77
	0	78
	1	79
	1	80

IV. PROCEDURES FOR ADMINISTERING THE BACKGROUND QUESTIONNAIRE, PACKAGES, AND PACKAGE SUPPLEMENTS

A. Package Assignment

A combination of three NAEP packages, package supplements, a Background Questionnaire, and a Respondent's Agreement will be included in the supply of envelopes which you receive.* A package assignment label will be affixed to the back of each envelope. An example of a package assignment label is below:

NAEP - SUPPLEMENTARY FRAME - YR 11 SERIAL NUMBER 5847 PACKAGE ORDER 1-8-11 INTERVIEWER NO. 127

The package assignment label contains:

1. A four-digit serial number. Instructions on the use of this number are contained on the next page and in Section V-B of this manual.
2. The numbers of the NAEP packages contained in the envelope. The order in which the package numbers appear is also the order in which the packages are to be administered.
3. The three-digit Interviewer Number assigned to you for the Supplementary Frame assessment.

After you have located an individual and determined eligibility, discuss the incentive payment rate and determine the number of packages to be completed. Explain to the respondent that the appropriate cash payment will be made directly to him/her immediately after the completion of the agreed upon number of packages.

*Interviewers who worked on in-school assessment will receive partially packed envelopes. RTI will provide specific instructions for completion of this assignment.

Complete the Respondent's Agreement by entering the appropriate numbers at the top. This information can be obtained from the ISQ. Also enter the respondent's name at the top and his exact mailing address (including zip code) at the bottom. You should sign the form on the line under the words Research Triangle Institute and enter the date. Write in the appropriate blanks the amount due the respondent and the number of exercise packages he/she has agreed to complete. If the respondent does not complete the agreed upon number of packages, draw a line through the original entries and enter the correct figures above the original. The respondent must sign the agreement. Do not pay the respondent in advance.

After all packages are completed, check the agreement to be sure that all necessary information has been included. Give the respondent the appropriate amount of cash and place a check (✓) in the parentheses next to "Payment has been made to the respondent". After all parts of the form are complete, separate the pink copy and give it to the respondent. Mail the yellow copy of the Respondent's Agreement and the ISQ to RTI. The amount paid the respondent should be entered on your next expense report and the white copy of the Respondent's Agreement should be attached to it for documentation. Packages, Supplements, and Background Questionnaires are to be mailed to DataScore Systems, Inc.* in the pre-addressed envelope provided.

The first respondent to whom you administer packages should be assigned the envelope with the lowest serial number. The second respondent will be assigned the envelope with the next higher serial number, and so on.

*DataScore Systems, Inc., Iowa City, Iowa, is the printing and scoring contractor for the National Assessment project.

Research Triangle Institute
Post Office Box 12194
Research Triangle Park, North Carolina 27709

RESPONDENT'S AGREEMENT

PSU # [redacted] INDIVIDUAL # 10

Respondent's Name [redacted]

Research Triangle Institute will pay the respondent $ 20.00 for the completion of 3 sets of National Assessment of Educational Progress exercises. Research Triangle Institute agrees to keep confidential the name and identification of the respondent. The respondent agrees to work to the best of his/her ability and to keep confidential the exercises he/she is administered.

Check (✓) Payment has been made to the respondent.

RESPONDENT'S SIGNATURE

[redacted]

RESEARCH TRIANGLE INSTITUTE

By Emily T. Carlson
Interviewer

Mailing address - Please print

[redacted]

June 12, 1980
Date

[redacted]
City, State and Zip Code

2003-2
Project Number

Disposition:

(White copy attached to Expense Report)
(Yellow copy sent with ISQ to RTI)
(Pink copy to respondent)

This order is to be followed throughout the course of the Supplementary Frame assessment without regard to the PSU or geographical area you are working. Once an envelope is assigned to a respondent, it will be associated with that respondent only, regardless of the number of packages he/she completes.

If the respondent completes fewer than three packages, the unused packages and package supplements should be removed from the envelope and retained by the interviewer for possible later use.

B. Respondent's Remuneration

Respondents who complete packages and package supplements are entitled to remuneration at the following rate:

1 package (and package supplement) ------- $ 5.00

2 packages (and package supplements) ----- $10.00

3 packages (and package supplements) ----- $20.00

No remuneration is provided for the completion of the Background Questionnaire.

The Respondent's Agreement provides a record of the monetary transaction with the respondent. Payment should not be made in advance, since an occasional respondent who had agreed to complete three packages may decide that he/she wishes to stop after completing one or two packages. Payment made to respondents is for packages completed, not for packages promised.

C. Sequence of Events

After you have determined the eligibility of the respondent (via the ISQ) and obtained a commitment to participate (via the Respondent's Agreement), the sequence listed below must always be followed:

1. Completion of the Background Questionnaire.
2. Completion of the first assigned package.

3. Completion of the corresponding package supplement.

4. A short break should be observed.

5. Completion of the second assigned package.

6. Completion of the corresponding package supplement.

7. A short break should be observed.

8. Completion of the third assigned package.

9. Completion of the corresponding package supplement.

A detailed description of the various administration procedures to be employed follows in the next sections.

D. Administering the Background Questionnaire

The Background Questionnaire should be self-administered; that is, the respondent should be handed the questionnaire and asked to complete it. Do not read the questions to the respondent.

Give the respondent two No. 2 pencils and the Background Questionnaire open to page 2. Ask the respondent to read page 2 and to complete the example questions. If necessary, give additional instructions for the example questions. When you are certain the respondent knows how to proceed, ask him/her to complete the Background Questionnaire. You are not to help the respondent in answering questions 1 through 14 of the Background Questionnaire. If a respondent should request help, tell him/her that we want his/her best answer to the questions as they are written.

When the respondent has completed the questionnaire (a total of 14 questions), collect the Background Questionnaire and proceed with the administration of the first package.

E. Materials Needed for Package Administration

1. Packages

Packages used in Supplementary Frame assessment during the summer of 1980 are the regular in-school Age Class 3 Package numbers 1-14

(designated as Group); however, in Supplementary Frame assessment all packages will be administered individually. Each package contains Reading exercises, as well as attitudinal questions about Reading.

2. Tapes and Tape Recorders

The administration of all packages requires a cassette recorder and an accompanying cassette tape. Interviewers who worked on in-school assessment have recorders; RTI will provide recorders to interviewers who did not work on in-school assessment. All interviewers will be provided with a complete set of cassette tapes which have been especially prepared for Supplementary Frame assessment. (In-school tapes are not to be used for this assessment.) Each cassette contains the tapes for two packages (one on each side of the tape). Each cassette is individually boxed and each side of the cassette is labeled with the package number for which that side of the tape has been prepared. Prior to administering any package, be sure you have in the recorder the correct side of the tape for the package you are to administer and that the tape is completely wound on the left side of the cassette.

Under no circumstances are Supplementary Frame assessment packages to be administered without using the tape recorder and the appropriate tape. Additionally, you must be present during the entire administration of every package, package supplement, and Background Questionnaire to assure proper administration and to prevent the respondent from receiving any type of assistance except that which you are allowed to give.

3. Soft Lead Pencils (No. 2) with Erasers

Only soft lead pencils (#2) may be used by you or the respondent to record responses. An ample supply will be provided.

F. Administering Packages

All packages are completed by the respondent as he/she listens to the instructions being read on a stimulus tape. Explain to the respondent that the exercises will be presented on tape and that once the tape starts you cannot answer any questions. When you are certain the respondent understands what is expected of him/her, begin the tape presentation. The tape will instruct the respondent to open the package to the correct page and exercise.*

Important. Two modes of tape presentation will be used during the Supplementary Frame assessment - paced and nonpaced. Each mode is discussed below.

Package numbers 1, 2, and 3 are to be administered via a paced tape mode. This mode of administration requires the interviewer to merely turn on the recorder at the beginning of the package and stop it when the announcer says "STOP." No exceptions are to be made. If a respondent completes an exercise before the announcer tells him/her to begin the next, the interviewer and respondent must not prematurely begin the next exercise. The tape may not be "moved forward" by the interviewer.

The tapes for Package numbers 4 through 14 require manipulation of the recorder by the interviewer. Once the tape presentation has begun, you will have to observe the respondent and turn off the recorder as necessary to allow him/her time to record answers. Exercises or exercise parts requiring one minute or less of response time are paced and require no manipulation of the recorder. Exercises or exercise parts requiring more than one minute of response time are nonpaced and require manipulation of the recorder. (See chart containing exercise response times). These exercises are always followed by

*Package numbers 4 through 14 begin with Exercise 3 (the first two exercises are not to be administered).

a low-volume sound ("beep") on the tape and a three second pause. At this point, the interviewer must stop the tape (at the "beep") to allow the respondent to record his/her answer. Start the tape again when the respondent is ready to continue. To stop and start the tape presentation, use the "stop" button on the recorder. The respondent is instructed by a "STOP" sign printed on most pages in the package to stop until told to continue. The instruction to continue is also given on tape; e.g., "Turn to page 20, exercise 10". Continue the tape presentation, stopping the tape as necessary to allow the respondent time to complete an exercise, or part of an exercise, until the instruction, "When you have completed this exercise, please give the booklet to the administrator," is given on the tape.* At this point, turn off the tape recorder.

Before beginning field work, it is essential that you thoroughly familiarize yourself with both tape modes so that you will be able to administer the packages properly. Call Donn Smith or Kirk Pate if you have any questions about use of the tape recorders or cassette tapes.

IMPORTANT: EXERCISE 5 IN PACKAGE 12 IS A TIMED EXERCISE. DO NOT ALLOW THE RESPONDENT MORE THAN 15 MINUTES TO COMPLETE THIS EXERCISE. FOR THIS EXERCISE ONLY, USE YOUR WATCH (OR STOPWATCH THAT HAS BEEN PROVIDED) AND BEGIN TIMING THE RESPONDENT IMMEDIATELY AFTER THE ANNOUNCER READS THE INSTRUCTIONS FOR EXERCISE 5. IF HE/SHE DOES NOT COMPLETE THE EXERCISE WITHIN 15 MINUTES, STOP THE RESPONDENT, TELL HIM/HER IT IS A TIMED EXERCISE, AND THAT WE EXPECT FEW PEOPLE TO COMPLETE IT. TURN ON THE TAPE RECORDER AND PROCEED WITH THE NEXT QUESTION.

*The last four pages in Packages 1 through 3 (beginning with the exercise which asks, "How important is it to be able to read?") are not to be administered. The last five exercises in Packages 4 through 14 are not to be administered.

G. Administering the Questions on the Back Cover of the Package

1. General

Six questions are included on the back cover of every package; however, they are to be completed on only the first package completed by the respondent. Tell the respondent there are a few more questions to be answered, show him/her the questions, and instruct the respondent to complete them. You are encouraged to assist the respondent in order to secure the most accurate information possible for each item. Instructions unique to the questions on the back cover of the package are given below.

2. Questions 1 and 3

Give assistance if necessary to determine the correct educational category of the parents. For example, if the respondent is uncertain how to answer question 1 or 3 you may be able to determine the correct answer by asking the occupation of the parent and additional questions concerning schools the parent may have attended, such as nursing school, etc. However, if you are not able to determine the correct educational category from the respondent's answers, the "I don't know" oval should be filled in by the respondent.

In the absence of natural parents, these items apply to the male and/or female adult in the respondent's home who was responsible for his/her day-by-day care when growing up; that is, a step-parent, a grandparent, some other adult relative, or an unrelated person, such as a foster parent. If either the male or female parent figure was absent from the home, the respondent should still answer to the best of his/her knowledge about the education of that parent figure.

3. Questions 5 and 6

In questions 5 and 6 the "I don't know" oval applies to the entire question and should be filled in only if the respondent does not know if he/she lived in or outside of the United States on the specified birthday. If the respondent indicates that he/she lived in the United States but does not know the state or territory, the oval beside "In the United States" should be filled in and "IDK" should be written on the line; if the respondent indicates that he/she lived outside of the United States but does not know the country, the oval beside "Outside of the United States" should be filled in and "IDK" should be written on the line.

Territories of the United States are:

American Samoa	Panama Canal Zone
Baker Island	Puerto Rico
Guam	Virgin Islands
Midway Island	Wake Island

H. Package Supplements

Each package is accompanied by a supplement. For example, SUPPLEMENT TO PACKAGE NO. 1 accompanies Package No. 1, etc. At the conclusion of the administration of a package, you are to give the respondent the corresponding supplement. The package supplement is to be self-administered by the respondent. This means that you are to hand the supplement to the respondent rather than read the questions to him/her.

No tape recorders or tapes are associated with the administration of the supplements.

The respondent should complete the first supplement in its entirety. Because the first question in each supplement is identical, it should

not be answered on the second or third supplements completed. Instead, instruct the respondent to open the supplement and begin on the second page.

I. Checking the Completed Packages and Background Questionnaire

As soon as possible after administration, review the completed package(s) and Background Questionnaire. If you notice during this review that an exercise in a package was completely skipped do not make any entries on the page(s); however, if you notice that any oval is not dark enough, darken the oval (with a #2 pencil) so that it can be machine-scored. However, do not change any of the entries otherwise; for example, do not fill in another oval or in any way change the original response.

The packages completed by the respondent, along with the corresponding supplements, are to be returned to the envelope assigned to that respondent. In addition to the completed packages, the envelope must also contain the Background Questionnaire.

V. CODING AND GRIDDING

A. General

All coding and gridding is to be done by filling in the proper boxes and ovals with a No. 2 pencil. Make sure that all marks are heavy and that each oval is completely filled. You will be responsible for coding and gridding certain information on the cover page of each package and package supplement you administer, and on the back page of the Background Questionnaire. Because of the number of documents involved, it is imperative that extreme caution be exercised in order to insure the accuracy of your coding and gridding. Specific instructions follow.

B. Individual Screening Questionnaire (ISQ)

Detailed instructions on the proper completion of the ISQ are provided in Chapter III. After the package administration has been concluded, remember to check the box in Part IV.C.1., and:

1. Enter the package number/I.D. number in the spaces provided. If the respondent takes fewer than three packages, enter a zero in the appropriate space(s).
2. Enter the serial number in the space provided. The serial number appears on both the package assignment label and the Background Questionnaire.

C. Background Questionnaire

You are to code and grid certain information on the back page of the Background Questionnaire for each respondent. For each item, enter the proper numbers or letters in the blocks and grid the corresponding ovals below the blocks.

Birthdate - this information should be obtained from III.A. of the ISQ.

Sex - M for male and F for female

Race - 1 - W (White)
2 - B (Black)
3 - S (Spanish Heritage)
4 - I (American Indian or Alaskan Native)
5 - A (Asian or Pacific Islander)
6 - U (Unclassified)

Reader - Y - Reader
N - Nonreader (This will be used only if you discover that a respondent is a nonreader* after you have begun package administration.)

In the "Packages Administered Per Session" section, enter and grid the number of packages administered during each session in which a package was administered.

In the "Order of Package Administration" section, enter and grid the numbers of the packages administered in the order in which they were administered (must be the order specified on package assignment label); if fewer than three, enter and grid a zero in the appropriate blocks.

PSU/School Number - two-digit PSU number which appears on ISQ.
three-digit School number which appears on ISQ.

Serial Number - four-digit number pre-entered on Background Questionnaire. This number matches the serial number on the package assignment label.

Field Interviewer Number - This three-digit number identifies you as the interviewer and appears on the package assignment label.

Package Number
Package I.D. No. - Enter the package number and the package I.D. number in the order in which they were administered in the spaces provided.

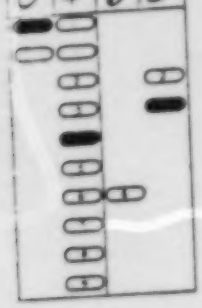
An example of a properly coded and gridded Background Questionnaire is shown on the next page.

*See Chapter III.D, 3.d.

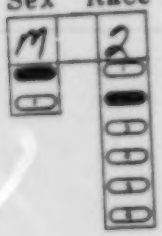
FOR INTERVIEWER USE ONLY

Birthdate

Month		Year	
0	4	6	3

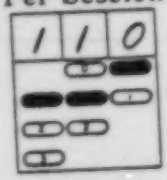


Sex	Race	Reader
M	2	Y



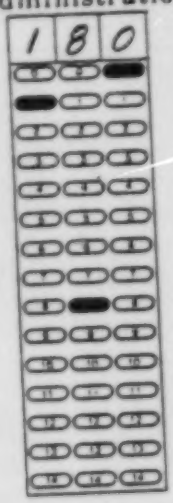
Packages Administered Per Session

1	1	0



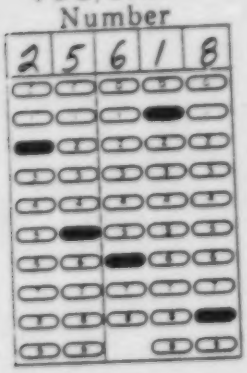
Order of Package Administration

1	8	0



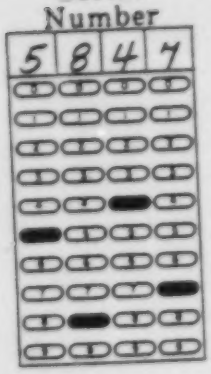
PSU/School Number

2	5	6	1	8



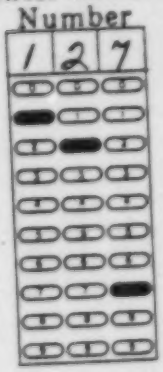
Serial Number

5	8	4	7



Field Interviewer Number

1	2	7



Package Number	Package I.D. No.
1	7189
8	6782

D. Packages

1. Package Condition Ovals

The package condition ovals are on the cover page of each package and are designated N, P, NR, and NE. You are to fill in one of these ovals to indicate the condition under which each package was administered, as follows:

N - Normal Administration; the respondent had an opportunity to complete every exercise, although he/she may not have done so. However, if at least one exercise within the package has been completed, you should fill in the oval beside N.

P - Partial Administration; the respondent did not have an opportunity to complete one or more of the exercises in the package; for example, a page of the package was missing, the administration was terminated because of an emergency, etc. If this occurs, fill in the oval beside P, and write on the cover page the numbers of the exercises which the respondent did not have an opportunity to complete, together with an explanation, as: "Exercises 25-33 not completed; respondent became ill."

NR - No Response to Entire Package; the respondent had the opportunity to complete every exercise, but completed none; that is, did not attempt any exercise in the package. If there is no response to the entire package, fill in the oval beside NR and note on the cover page the reason, if known, or "Reason unknown."

NE - Not Eligible; the respondent completed one or more of the exercises but should not have been assessed; that is, he/she was not eligible by birthdate or he/she was physically or mentally handicapped, non-English speaking, or a nonreader. If you discover,

during or after package administration, that the respondent is not eligible to participate in National Assessment, note the reason on the cover page and fill in only the oval beside NE. In other words, categorization as Not Eligible takes priority over the other package condition ovals.

The first oval, N - Normal Administration, will cover the overwhelming majority of the administration situations. Exercises omitted within packages coded N do not have to be listed on the cover page. Packages coded P, NR, NE must have on the cover page a reason for the package condition code, if known; in addition, packages coded P should have a notation of the exercises omitted.

2. Columns 3 through 8 of the Package Cover

No entries are to be coded and gridded in columns 3 through 8 on the front of the assessment packages.

3. R, F, S, and H Ovals in Lower Left Corner of Package Cover

Disregard the R, F, S, and H ovals on the package which appear in the box directly below the package condition ovals.

E. Package Supplements

The combined five-digit PSU/School number must be entered in the appropriate blocks on the cover page of each completed package supplement.

The I.D. number which appears on the corresponding completed package should be entered and gridded in the I.D. number box of the supplement.

VI. INTERVIEWING TECHNIQUES

A. General

During the Supplementary Frame assessment, you will be attempting to contact and assess out-of-school 17-year-olds; however, you may need assistance from a variety of persons in order to locate a particular individual. This chapter offers suggestions and techniques which will help you make effective and productive contacts with these individuals. In addition to this manual, you are being provided with RTI's Field Interviewer's General Manual which covers, in excellent fashion, the gamut of effective interviewing techniques. Please read it thoroughly, giving special attention to Chapters III and IV.

The success of each contact you make will depend considerably on your ability to create a friendly, cooperative atmosphere of mutual trust and confidence. There is no one best way to establish rapport, for the best way of doing this with one respondent may be inadequate with another. People differ in socio-economic status, cultural and ethnic backgrounds, health, and prior experiences with interviewers and salesmen; therefore, each person will respond to interviewers differently. These differences in people must be taken into account when you make your presentation and how you do this depends upon how sensitively you perceive them and how well you can adapt the interview accordingly.

B. Your Attitude

When working in neighborhoods and in homes that are unfamiliar to you, it is extremely important that you BE YOURSELF. An open, honest attitude will help you establish rapport with individuals whom you have

never met before. Try to avoid meeting an individual and making your presentation in such a way that you are immediately stereotyped as a "representative," "salesman," or "researcher". Rather, present yourself as an individual who has come to discuss an important matter. It is important that the individual who answers the doorbell develop a feeling of trust in you immediately. This can best be accomplished by your avoiding any "affectation," and by just being yourself.

It will be helpful in establishing this relationship of trust if you are willing to let your own personality emerge as you provide the person with information about who you are and why you are there. For instance, you might comment positively on something about the person's home which you notice. A person's yard, home, or the type of car he drives often reflects some special interest of that individual. Expertise should be developed in looking for and reading these signs, and you should try to become skillful in incorporating this insight into your presentation at the door.

C. Introducing Yourself

A good appearance and a friendly introduction will go a long way toward achieving a successful interview. In your introduction you should include your name, the organization you represent, the purpose of your call, and the confidentiality with which the information will be treated. These are the four essential ingredients in a good introduction. In previous years the interviewers who achieved success locating people and obtaining their cooperation agreed that before asking anyone for information, it is essential that the person knows who you are, why you are there, and what information you are seeking. People will naturally be reluctant to impart information unless they know why they are being asked to provide it.

D. Listening to the Individual

It is important that you LISTEN to what the individual has to say. Do not rush the interview. If the individual has a "beef" or an "axe to grind" about any subject from door-to-door salesmen to federally funded programs, your best tactic is to let the individual "get if off his chest". Listen attentively and avoid arguing. Attempt to move the conversation away from the "touchy" subject and back to why you are there. If you disagree with the point of view being expressed, extreme care must be exercised if you choose to express that disagreement. An argument could ensue. Discuss the subject--don't argue it.

E. Your Presentation

Know your NAEP program thoroughly. Present it in an open and honest manner. Try to avoid becoming nervous or rushing through your explanation. Many people will be genuinely curious about who you are and why you have come to their home. Capitalize on that curiosity by presenting the NAEP program clearly and carefully. Memorizing a doorstep or "canned" explanation is detrimental and unnecessary. It is better to explain the assessment, carefully using brochures, ID cards, and demonstration packages, than to blurt out a memorized "spiel" or "pitch".

F. Obtaining Cooperation

1. Proper Identification

RTI will provide you with an I.D. card. Many interviewers find that they gain cooperation more quickly if they present their ID cards or some similar form of identification at the door. ID cards which carry

photographs and/or fingerprints convey legitimacy and authenticity. A printed business card is likewise helpful, especially since it carries a specific address and telephone number. Some interviewers have found that an identification card pinned to their lapel assists in establishing their identification at the door.

2. Booklets and Brochures

National Assessment has published a variety of booklets and brochures which explain NAEP and which encourage participation in the project. The most helpful is "Questions and Answers about NAEP." You are being provided with an ample supply of the Q and A brochure, as well as other NAEP descriptive materials. These materials have been very valuable in the past in assisting interviewers to secure cooperation from sample individuals.

You will also be provided with a brochure which describes the various types of research conducted by RTI. This brochure can be used to assist in explaining the Institute to someone who is not familiar with it.

The booklets and brochures should be readily available to show to an individual or to leave for his/her later consideration. They will be of no help to you if they are in the car when you are at the doorstep! Do not merely thrust a brochure through a crack in the screen door, but rather look at it with the individual and refer him/her to specific items in the brochure. Examine it closely together.

Should you leave any brochures with the individual, be sure your name and address (and telephone number with area code) are written on the back. You may suggest to reluctant eligibles that they should telephone you (collect) if they decide to participate. Some interviewers have left these brochures in or under the door when they were having difficulty locating the individual.

Other interviewers report that they staple their business card to all NAEP booklets and enter the telephone and room number of their motel on the back before beginning work in a PSU. If you do not have a business card you can simply write this information on the booklets. This not only adds a degree of authenticity to the study, but facilitates a respondent's ability to get in touch with you.

3. RTI

When interviewing away from the Research Triangle area, the term Research Triangle Institute (RTI) may carry little meaning. Consequently, this term has to be explained.

The university affiliation of RTI is a strong point to mention. Naming the three triangle area universities, Duke University, the University of North Carolina, and North Carolina State University, seems to lend an aura of authenticity to what you are saying. Also, the fact that RTI is a "not-for-profit" research organization seems to help dispel the "you're going to sell me something" notion. When describing RTI, perhaps it is better to describe it as located near Raleigh, North Carolina, rather than just say "RTI of North Carolina" or "of Durham, North Carolina", or "of Chapel Hill, North Carolina". Most people have learned the state capitals sometime during their lives and may recognize the name Raleigh quicker than Durham or Chapel Hill. To simply say North Carolina is too vague.

4. Explaining the Study

a. What To Avoid

(1) An apologetic attitude will usually precipitate a refusal. Never apologize for ringing the individual's doorbell. Take the positive attitude that you have come here for the specific purpose of discussing an important matter. An apologetic attitude too easily leads the individual to

agree with you; i.e., that you <u>are</u> disturbing him and you should not have come to his door. Be positive and confident in your approach.

(2) Never give an individual the opportunity to answer "yes" or "no". A question such as "Will you participate?" will get a "yes" or "no" response. A better, more positive approach would be "I'll stop by tonight at 7:00 p.m. and we can do the first package (or booklet)." Few individuals would say "No!". Instead, they might say, "Well, not tonight, I'm busy" or "7:00 p.m. is a bad time". These responses leave the matter undecided and thereby still open. Indeed, their consent to participate at another time may even be implied. You should continue by suggesting another night or another specific time.

Also, you should avoid making the individual suggest the acceptable time. You should continue suggesting possible times. It is easier for the individual to accept a specific time which you have suggested than it is for him/her to suggest and decide upon a time.

(3) Avoid technical terms--terms such as those listed below should be used with care and caution!

(a) "Random Probability Sample" - what does this mean to a layman? Use of this phrase may confuse and bewilder the individual. If possible, translate this phrase into something more familiar and easily understood. For example, you can inform the individual that he/she was randomly selected from a list of the names provided by the school which the individual formerly attended.

(b) Packages - Interviewers have found that it is best to define this term as you use it. For instance, you might explain that what we call a package others might refer to as a booklet. Help the individual understand what is meant by the terminology you are using. You

should avoid having to accept an individual's refusal to participate when, in fact, he/she has not really understood the program you were presenting.

(c) Test - Many individuals become anxious when placed in a "testing" situation. This is probably a result of unpleasant "test" experiences when they were in school. National Assessment depends on voluntary participation for its success, and since it is not a "testing" program in the traditional sense, individuals who refuse to participate because of their anxiety about tests are usually persons to whom National Assessment has not been fully and accurately explained. The word "test" should not be associated with National Assessment because of the variety of meanings which this word has. Moreover, it should not be used because it inaccurately describes this project. Assessment or survey are much more accurate terms. Use them and be careful to define in layman's terms what you mean by them.

(d) Exercises - This word has traditionally been associated with physical activity or calisthenics. You should be careful to define the way we use the word "exercise" in this study. One way to define it would be to suggest that exercises may be observations, questions, statements of attitude, or opinion.

(4) To inform an individual that it will take 2 or 2½ hours to be assessed may precipitate a refusal. It is difficult for many people to block off this much time for anything. The truth is that most people <u>can</u> find this amount of time. However, it may be better to talk in terms of a shorter period of time. Stress 35 to 45 minutes per package rather than 2 or 2½ hours for three packages. In the individual's mind, you are at least talking within the realm of possibility when you say 35 to 45 minutes. The maximum incentive payment should be stressed. Be careful here! Never imply

that for 35 to 45 minutes the maximum incentive can be earned. This is simply not true. Yet a psychological advantage is gained when you talk in terms of how long it takes to complete one package and how much incentive can be earned by completing three packages. Experience in previous years has shown that if you can get the individual to take one package, he/she will usually complete all three.

b. What to Stress

(1) Stress the confidentiality of the data and of the participant's identity. A word of caution is in order. If you overstress confidentiality, you may generate fear and suspicion in the eligible. He/she will think this is "top secret", and consequently, will want no part of it.

(2) No names will ever appear on packages or other assessment materials. This fact should assure the individual that his/her responses are confidential.

(3) No scores relating to an individual are being compiled. No one is personally graded.

(4) Payment will be made in cash and the interviewer will provide a receipt and ask that the individual sign it. This is necessary because the interviewer must give receipts to RTI for the money paid out. Openness and honesty about this are generally appreciated by eligible individuals. Also, they seem to understand your need to have a record of the cash payment.

(5) Stress that very few persons refuse to participate in the assessment.

(6) National Assessment is a cooperative effort by the states to share their knowledge and expertise to improve the nation's educational systems.

(7) Emphasize that nothing is being sold and that no sales materials will follow in the mail.

(8) Stress that this individual has been selected for assessment, and therefore it is important that he/she participate. This individual cannot be replaced by anyone else. If we were interested in assessing anyone, it would be much easier to place an ad in the newspaper offering twenty dollars for three packages completed. People would probably line up waiting to be assessed. However, National Assessment is not conducted in this manner. Individuals are randomly selected to participate and it is important that each individual selected do so.

(9) Stress to the individual that the packages can be administered at his/her convenience, and that they may all be taken at one session or separated into two or three sessions. Make every effort to administer all three packages, but remember that one package administered is far better than a refusal.

(10) Remember to emphasize the importance of National Assessment to children and to schools. This might be related specifically to children in their own home as well as children and schools of their community. The possibilities for further discussion are practically unlimited.

G. Useful Hints

1. You should attempt to administer assessment packages "on the spot" when you first locate an eligible.
2. Good times to locate individuals and administer packages are:
   a. During meal times. Some individuals will be willing to participate if they can take one package each day during their lunch hour. The prime time for locating individuals is 9:30 a.m. until 2:00 p.m. and 7:00 p.m. until 9:30 p.m.

b. Saturdays and Sundays. Most people are not working on these two days and can be found at home.

c. Rainy days. Individuals who work out-of-doors often will not be working during inclement weather.

3. Inner-City Work.

a. Use your name tag.

b. Do not use a briefcase unless absolutely necessary.

c. Stress the Education Commission of the States.

d. Dress informally. Try to blend in with the neighborhood.

4. Do not make initial contacts with selected individuals by telephone.

5. Mention to package respondents the possibility of a verification contact.

6. Carry an extension cord in the trunk of your car. Some individuals may not have an easily accessible electrical outlet.

H. Refusals

Most individuals are friendly and willing to cooperate. A few words about refusals are in order, however, so that you can handle the situation to the best possible advantage when you encounter them.

First, a refusal is not necessarily a reflection on your ability as an interviewer. The best interviewers experience an occasional refusal. On the other hand, one of the marks of a good interviewer is a low refusal rate.

Second, do not allow a refusal to influence your attitude. Nothing will bring on a refusal faster than an apologetic approach. It is important that you meet your respondent with a friendly, confident, and positive

manner. A refusal can be quite upsetting, but if it happens, pull yourself together and get back into stride. You should never "talk down" to anyone. Just as an apologetic approach often produces negative results, a condescending attitude also creates refusals.

Here are some of the most frequently offered reasons for not participating and some suggestions regarding tactics you may use to secure cooperation.

1. Reason given for not participating: "I don't have the time!"

You should point out that all three packages do not have to be taken in one session. They can be taken one at a time if so desired. A package usually requires only 35 to 45 minutes of the respondent's time. You should offer to come to administer packages at the individual's convenience--early or late or even during the lunch hour. Also, you should offer to come sometime during the weekend. You should suggest a specific time such as Saturday afternoon at 2:00 p.m. Additionally, you should point out that some things are so important one should take time for them. Discuss the importance of National Assessment. Mention that his/her participation will supplement important assessment activities that occurred in the schools during the spring. Moreover, don't fail to mention that $5 for one package (less than 1 hour) represents good wages. The individual can earn money in his/her spare time.

2. Reason given for not participating: "I'm not good at Reading."

The following responses are offered:

a. The respondent does not have to be good in this subject area. The exercises range in level of difficulty from very easy to very difficult. Few people know all the answers.

b. Not just skill and knowledge in the subject area is being assessed, but also the individual's attitude toward these subject areas.

c. Many answers are opinion type answers and one person's opinion is just as valid as another person's opinion.

d. The individual will not receive a grade and the data are confidential. No one will ever know how he/she performed.

e. The important thing is that the respondent is a representative of the entire 17-year-old age group.

f. In previous years, many respondents discovered that they were able to recall more about the subject areas than they originally expected.

3. Reason given for not participating: "It's a federally funded program. I'll have no part of it". (Note: Based on previous years experience, you should not encounter this type of argument often, as 17-year-olds are less likely to raise objections of an ideological nature).

You should point out that the study is sponsored by the Education Commission of the States which is a cooperative effort of the states to improve education. While the study is federally funded, it is not federally controlled. Also, the federal government is similar to other large institutions and organizations in that it has some good and some bad programs. We feel that NAEP is a good program. You may ask, "Is there something specific about NAEP that you find objectionable?" (This may dismiss the "federal funding" objection and allow you to discuss other specific objections one at a time).

You may want to inform the individual that in excess of 75 billion dollars per year is spent on education in America. The NAEP program is designed to determine how much people know as a result of their education.

4. Reason given for not participating: "Why me? How did you get my name?"

Your response might be that individuals are selected to be assessed because they formerly attended a high school in which we assessed 17-year-old students this past spring. Mention the name of the high school which this individual formerly attended. This high school provided us with the individual's name. Additionally, this individual was selected because he/she fell into an age range which we define as roughly between 16½ to 17½ years old. We call persons of this age range 17-year-olds. We assess many of these 17-year-olds in the public or private schools which they attended. However, we know not all 17-year-olds are attending high school. Some have discontinued their studies and other have graduated early. Since we are attempting to find out the skills, knowledge, and attitudes of 17-year-olds in certain school subjects, we have to try to assess some 17-year-olds in school and some who are no longer in school. These individuals were selected because they fell into the category of 17-year-olds who are no longer in school. Their responses are just as important to our study as those of 17-year-olds who are still attending high school.

5. Reason given for not participating: The mother or father refuses for the individual.

You should point out that:

a. Perhaps the son or daughter could use an extra $20 to purchase something special they have been wanting.

b. We would like to present the study to the individual for his/her decision, especially since many former classmates have participated.

c. Perhaps the individual would appreciate being given the opportunity to decide about participation.

d. You would like to speak to the individual personally. Your company requires that you present the program directly to the individual involved.

6. Reason given for not participating: "I hated school and that's why I quit. I want no more to do with it".

You should try to reassure the individual that this assessment or survey will be different from tests which were taken in school. Most people enjoy participating. The purpose of the study is to improve education in America. By participating, this individual can help us improve schools. Also, he/she will be doing something concrete about improving education. Perhaps the individual will be helping others avoid the unpleasantness in school which he/she experienced.

7. Reason given for not participating: "I can't do it now. Could you come back in August?"

The assessment has certain time deadlines. You must finish your work in each area as quickly as possible and the entire project by July 31. Participation while you are in the PSU must be secured. Additionally, it will cost the taxpayer considerable money for you to return. It would be much less costly if the assessment could be done now. You might also pursue the reason for the delay. If the individual is going on vacation, perhaps we could have an interviewer in the vacation area assess the individual. If the individual is moving, get the new address so he/she can be assessed in the new location.

8. Reason given for not participating: "I don't need the money".

Because most people feel their time is valuable, National Assessment is willing to compensate each respondent for the time it takes to be assessed. If the individual does not need the money, it might be used as a donation to a preferred charity.

These are the most common reasons for nonparticipation which you may encounter. The tactics and suggestions offered here for securing participation are certainly not exhaustive. You may find approaches that work better than any of these. Use the ones that work for you. Be careful to maintain honesty with the individual at all times and to protect the integrity of National Assessment and the Research Triangle Institute.

The majority of individuals who are assessed, both in school and out, say that they genuinely enjoy it. This may be your strongest selling point. Remember to use it. Also, the approaches which you feel work for you and with which you feel comfortable and at ease are probably your best approaches. Your technique will generally prove to be the best for you. Use these suggestions and hints to improve your own technique, and, by all means, adapt them to your style, not vice versa.

VII. ADMINISTRATIVE PROCEDURES

A. Disposition of Completed Work

When package administration has been concluded, the completed packages, package supplements, and Background Questionnaire should be returned to the envelope. Seal the envelope and mail it to DataScore immediately. The envelope is pre-addressed and postage paid. Retain the unused packages (if any) for later use.

Field Interviewers will be expected to complete a minimum of eight to ten ISQs each week. Completed ISQs and the yellow copies of the Respondent's Agreement are to be mailed to RTI each Wednesday and Saturday. The envelope which is mailed Saturday should also contain the other reports (expense, production, itinerary, etc.) which are required by RTI. Please use the self-addressed, postage paid envelopes provided.

B. Itinerary Reports

Field Interviewers are part of a large national field staff. Frequent communications between the field and central staffs are necessary. Therefore, it is very important that RTI be kept informed of your itinerary.

Field Interviewers who are assigned to areas which require overnight travel must prepare (on a weekly basis) an itinerary report of their travel plans. This report is printed on NCR paper. The white copy must be at RTI ten days prior to the beginning of the week the report covers. To insure this, you should mail the report at least two weeks in advance of the week covered by the report. Keep the yellow copy for your records.

If you change your itinerary, please telephone the change to Brenda Porter at RTI. An example of a properly completed itinerary report is shown on the next page.

DISTRICT SUPERVISOR'S ITINERARY REPORT

For Week Beginning Sunday, June 8, 1980 (Month/Day/Year) PSU No(s) 25

☐ Please check (✓) if working out of your home the entire week.

(Provide the information below only if you are involved in overnight travel during the week. Call RTI if any of this information is changed or revised.)

Date	From (City and State)	Approx. Time Depart	To (City and State)	Approx. Time Arrive	Place of Lodging	
					Name	Telephone Number
6/8	Nashville, Tennessee	4:30 p.m.	Morristown, Tennessee	7:15 p.m.	Thunderbird Motor Inn I-81 + Rt. 415 Morristown, Tennessee	(504) 775-1515
6/9						
6/10						
6/11						
6/12	Morristown, Tennessee	3:00 p.m.	Nashville, Tennessee	6:00 p.m.	my residence	(701) 828-1191

District Supervisor's Signature Emily T. Carlson Date June 1, 1980

Disposition: White copy to RTI; Yellow copy retained by District Supervisor.

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C. Production Reports

Each Field Interviewer must report his/her production on the Field Interviewer Production Report. The instructions for the completion of the report follow:

1. Heading

At the top of the report enter the week being reported.

2. Part I. Status of Assignment

Enter on line (1) the number of ISQs that have been assigned (as Interviewer, first assignment) to you. Because of sampling constraints (late arrival of school lists at RTI, etc.) you may not receive all of your original assignment at one time. Make certain that your entry on line 1 includes all ISQs sent to you to date.

Enter on line (2) the number of ISQs reassigned to you (for which you become Interviewer, second assignment) to date.

The sum of lines (1) and (2) reflects your total assignment to date. Enter this number on line (3).

The cumulative total number of ISQs returned to RTI during previous weeks should be entered on line (4). This includes the total number of ISQs which you have completed (for which a Final Result [ISQ, Part IV.C] has been achieved) and the total number of ISQs which you have returned to RTI for reassignment to another Field Interviewer. This total is the sum of lines (4) and (9) of the previous week's Production Report.

By subtracting line (4) from line (3), you derive your active ISQ assignment at the beginning of the week being reported. This total should be entered on line (5).

3. Part II. Production

For each day of the week, enter the PSU number(s) in which you worked and the total number of ISQs completed (a Final Result was achieved [ISQ, Part IV.C], i.e., the individual was assessed, ineligible, refused, inaccessible, etc.). Also, enter for each day the number of ISQs returned to RTI for reassignment to another Field Interviewer. Total these columns at the end of the week.

Problems encountered should be described on the appropriate line in the "Special Problems" column. Examples of special problems include car trouble which prevented you from working, illness, etc.

4. Part III. Summary

On line (6) enter your active assignment at the beginning of the week. This is the same as the number entered on line (5).

Enter the number of ISQs completed on line (7) and the number of ISQs returned to RTI for reassignment on line (8). Then enter the sum of these two lines on both lines (9) and (10).

By subtracting line (10) from line (6), the total number of ISQs to be completed is derived. This figure should be entered on line (11). This number will decrease each week that you work and eventually will be zero.

5. Part IV. Comments

Use this section of the report for any pertinent comments. Sign and date the report. Mail the white copy to RTI no later than Saturday of each week. Retain the yellow copy for your records. An example of a properly completed report is on the next page.

FIELD INTERVIEWER PRODUCTION REPORT

SUPPLEMENTARY FRAME ASSESSMENT
YEAR 11

For Week Beginning Sunday, June 8, 1980
(Month/Day/Year)

Part I. Status of Assignment

Number ISQs originally assigned to you to date:	(1) 42
Number ISQs reassigned to you to date:	(2) 1
Total number of ISQs assigned to you to date: (add lines 1 and 2)	(3) 43
Total number of ISQs completed and ISQs returned to RTI for reassignment to date (add lines 4 & 9 from previous week's report)	(4) 12
Active assignment at beginning of this week: (subtract line 4 from line 3)	(5) 31

Part II. Production

Day	PSU Number	Number ISQs Completed	Number ISQs Returned for Reassignment	Special Problems
Sunday	25	0	0	
Monday	25	3	0	
Tuesday	25	2	0	
Wednesday	25	1	1	
Thursday	25	2	1	
Friday	33	2	0	
Saturday		-	-	
	TOTAL	10	2	

Part III. Summary

Active assignment at beginning of this week (from Part I, line 5)		(6) 31
Number ISQs completed this week:	(7) 10	
Number ISQs returned to RTI for reassignment this week:	+(8) 2	
Subtotal (enter on lines 9 & 10):	(9) 12	(10) 12
Total active ISQs to be completed: (subtract line 10 from line 6)		(11) 19

Part IV. Comments

Records at school [redacted] apparently in poor condition.
(Several individuals from that school have been ineligible.)

Field Interviewer: Emily J. Carlson Date: June 13, 1980

Disposition: White copy to RTI; yellow copy for Interviewer's records.

D. Travel

1. Travel and Incentive Advance

Prior to beginning work, a travel and incentive advance is made to each Interviewer. This advance is to cover expenses involved in attending the training session, incentive payments, and travel expenses for the first few weeks of work assigned to you. This allows turn-around time for weekly expense reports to reach the central office and for expense checks to be sent to you. Please remember that the travel advance is, in effect, a loan and will have to be repaid when your assignment is completed. You should be able to account for the entire amount of your advance at all times.

2. Transportation Expenses

a. Use of Your Auto

You will be compensated $.20 for each business-connected mile that you drive your own auto. You, in turn, are responsible for all auto depreciation, maintenance and operational expenses incurred by you as a result of business travel by personal auto. You also are financially responsible for maintaining all auto insurance coverage as required by the state in which you reside.

There are two incidental automobile expenses for which you will be compensated over-and-above the regular mileage payment--parking and tolls. Parking fees will be reimbursed to you in full if free parking is not available in the general area of the addresses you are visiting on business. Bridge, tunnel, and parkway tolls are also reimbursable items provided they are incurred in the course of business travel. You will have to supply receipts for expense items which exceed $1.00. Therefore, always obtain receipts for tolls and daily parking fees exceeding $1.00.

b. Air Travel

Air travel for many Interviewers will be used only when attending a training session; however, some Interviewers will travel by air to various PSU areas assigned to them. You must have explicit RTI approval prior to making any trip by air. If travel by air is required, it will be your responsibility to make your air transportation reservations and to pay for your tickets. Always save your airline ticket passenger coupon (the last page in each ticket book) and attach it to the expense report in which the expense is reported.

c. Other Modes Of Transportation

(1) Auto Rental

If you travel by air to areas in your assignment you will probably need to rent an auto for ground transportation. Rental fees are generally based on the number of days rented, mileage, and type of auto rented, with a discount offered for rental periods of a week or more and to holders of certain credit cards. You must have explicit RTI approval prior to renting an auto. If you are authorized to rent a car, attach the receipt to the expense report in which you are reporting the rental expense. If the rental agreement does not provide for reimbursement of gasoline purchases, also be sure to attach receipts for the gasoline you bought for use in the rental vehicle and include this expense on your expense report.

(2) Taxis and Other Public Transportation

If you find it necessary to use taxis, buses, subways, or other forms of public transportation in carrying out your assignment, you may do so, providing the cost is less or equal to the cost of driving your own auto (mileage, plus tolls, and parking). However, prior approval from RTI is required if the cost of such transportation will exceed the cost of driving your own auto.

3. Subsistence Expenses

When overnight travel is required, you will be reimbursed for all reasonable outlays to commercial establishments for food and lodging.

Lodging expenses are to be supported by a receipt which must be attached to the report in which the charges are listed. RTI policy is to permit interviewers to stay in first-class commercial hotels and motels. However, luxury or resort hotels are not permitted. If you charge your hotel or motel bill on a credit card, be sure to attach the actual hotel or motel bill as proof of payment rather than the tissue that you receive as a charge-card receipt.

Meal expenses are allowable only when overnight travel is required. Gratuities for food service are to be included in the amount you report for meals. Food expenses must be reasonable to the area in which you are working and cannot exceed $20.00 per day. If meal and gratuity expenses total less than $20.00 during a day, you are to report the exact amount spent. No receipts are required to support meal expenses.

4. Telephone Expenses

When possible, all long distance calls to RTI are to be made between 8:15 a.m. and 5:00 p.m. Eastern Daylight Time using the toll-free number (1-800-334-8571). If you experience difficulty in using this number, you may call Donn Smith or Kirk Pate (collect) at 919-541-6585 or 919-541-6820. If you need assistance after 5:00 p.m., or on a weekend, call Mr. Smith or Mr. Pate at their homes. Place these calls on a person-to-person (collect) basis.

Donn Smith	(919) 851-5084
Kirk Pate	(919) 851-7674

During the summer each of you may make telephone calls involving long distance tolls or local charges to respondents. The cost of all these business-connected long distance and local calls should be paid by you. You will be

reimbursed for these calls after reporting them on your expense report by submitting the original itemized long distance bill sent to you by your telephone company. You must indicate on the bill which calls are being reported as business-related.

a. Terms of Employment

RTI District Supervisors who worked on in-school assessment will continue as RTI employees.

The other Field Interviewers who work on Supplementary Frame assessment will be employees of Powerforce Company, Inc. (PCI) of Chicago, Illinois. PCI serves as a subcontractor on RTI projects requiring field data collection, providing payroll and related services. This subcontractor, based on Production, Time, and Expense Reports submitted to RTI as described in this chapter and approved by an authorized RTI staff member, makes payroll and expense reimbursement payments to field personnel. PCI will make all deductions for federal, state, and local taxes required by law and will provide a W-2 form for tax reporting purposes following each calendar year.

Questions concerning a field staff member's relationship with PCI should be directed to Donn Smith or Kirk Pate at RTI. If a question cannot be answered by them, it will be referred to an appropriate PCI staff member.

b. Reporting Time and Expenses

RTI District Supervisors will continue to use their RTI monthly time reports and D.S. Expense reports.

All other Field Interviewers will also be required to keep a daily record of production, time, and expenses.

Time and expense charges must be allowable under RTI policy if you are to be reimbursed. Allowable charges are discussed in detail

in the RTI Field Interviewer's General Manual, Chapter V. Please review that section before beginning your Supplementary Frame assignment in order to avoid any misunderstandings.

The Interviewer's Production, Time, and Expense Report provides you and the RTI Central Office staff with a detailed summary of tasks completed during the weekly period covered by the report and the time expended and expenses incurred in completing these tasks. Step-by-step instructions for completing this form are provided below. An example of a properly completed PT&E Report is shown at the end of this chapter. Please refer to these instructions and the example as you are completing your reports to be sure you are making all required entries correctly.

(1) Length of Reporting Period -- At the top center of the form you are to indicate the length of the reporting period by placing a check (✓) in the "one week" box. You should submit the PT&E Report each Saturday during your employment on Supplementary Frame.

(2) Starting Date -- Enter the date (month, day, and year) of the Sunday on which the reporting period begins. If you do not work during the one week period, check the box provided and send the form to RTI.

(3) RTI Project No. -- The project number for the Supplementary Frame assessment is 2003-2. Enter this number on the line provided.*

(4) Activity No. -- Disregard this item.

(5) Section A (Day of Week) -- This section identifies the days in the one-week reporting period. For each day you work the appropriate entries should be made in the column to the right on the line for that day.

(6) Section B (Production) -- Enter the number of ISQs completed or returned to RTI for reassignment on the appropriate lines. Remember, this is the number of ISQs completed, not the number attempted or partially completed.

*Only Supplementary Frame Assessment charges are to be shown on a PT&E Report bearing this project number. If you are working on more than one RTI project, take care to keep separate records and submit a separate PT&E Report for each project.

(7) Section C (Hours Worked) -- For each day that you work, record in Column C-1 the total number of hours worked, rounded to the nearest quarter-hour. Partial hours should be expressed in decimal form rather than as a fraction (e.g., 5.75 hours instead of 5-3/4 hours). Then allocate the total time worked across Columns C-2 through C-8 as appropriate, again using decimals rather than fractions to express partial hours. These "hours worked" categories are defined as follows:

(C-2) Study/Training -- Record the time spent preparing for (i.e. studying at home) and participating in training sessions.

(C-3) Travel -- Record the time spent traveling that day.

(C-4) Contacting/Locating -- Record the time spent locating and contacting respondents. Include time spent making appointments, talking to neighbors, explaining the study to potential respondents, etc.

(C-5) Interviewing -- Record the time spent during actual interviews with the selected individuals. This includes explaining the survey, determining eligibility, administering packages, etc.

(C-6) Editing -- Record time spent editing completed instruments, including the ISQ, Background Questionnaire, etc.

(C-7) Conference -- Enter time spent conferring with the Central Office.

(C-8) Other -- Record time spent preparing for fieldwork and performing other allowable project activities. Note that each "other" activity must be specified in the "Notes" section. Use the reverse side of the white copy of the form if necessary.

(8) Section D (Expenses) -- Record the following for each day you work:

(D-1) Miles Driven -- Record the total miles you drive your personal auto (rounded to the nearest mile) that day on project business (check to make sure that the corresponding travel time is shown in Column C-3).

(D-2) Miscellaneous Expenses -- Record the total amount of eligible expenses for the day, and explain each item in the "Documentation of Miscellaneous Expenses" section on the reverse side of the white copy of the PT&E Report. Attach receipts for each expense in excess of $1.00.

(D-3) Incentives Paid -- Record the total amount paid during the day to package respondents. The white copy of the Respondent's Agreement must be attached to support each payment reported.

(9) Totals -- Total all columns, then check your calculations! Remember to express partial hours in Columns C-1 through C-8 in decimal form rather than as fractions.

(10) For Office Use Only -- Do not make any entries in this section. The Central Office will complete this section to determine the total amount due as payment for your services and reimbursement for mileage and expenses.

(11) Certification Section -- Complete this section by recording your name (please print!), Interviewer number, date, social security number, complete mailing address, and telephone number. Then sign the form (unsigned forms cannot be processed and will be returned!).

(12) Notes -- The "Notes" section is for any comments or explanations you wish to make about your entries in Sections A-D. To avoid delaying approval of your PT&E Report, be sure to explain any unusually high time charges. Note that all "other" time (Column C-8) must be explained in the "Notes" section. Also note that the "Notes" section is continued on the reverse side of the white copy of the PT&E Report, in the event that additional space is required.

(13) Documentation of Miscellaneous Expenses -- This section is on the reverse side of the white copy of the PT&E Report. All miscellaneous expenses recorded in Column D-2 must be documented in this section. For each expense, show the date and amount and explain the nature of the charge. A receipt must be attached to your PT&E Report for any expense in excess of $1.00.

The PT&E Report should be completed with as much care as other data collection instruments. To avoid processing delays, please be sure that you have completed the report correctly. Direct any questions you may have to Donn Smith or Kirk Pate.

c. Submitting the Report

The PT&E Report is printed on NCR paper so that an original and three copies of your entries are produced without the use of carbon

later. Mail the white and yellow copies of the PT&E Report (with necessary receipts and the white copy of the Respondent's Agreement attached) to RTI no later than the Saturday ending the one-week reporting period. Keep the pink copy of the PT&E Report for your records. The gold copy of the report should be discarded.

You should expect to receive a check approximately three weeks after mailing a PT&E Report to RTI, assuming the report was completed correctly. If you do not receive a check within four weeks following the date of submission, and you have not been contacted by the Central Office or your supervisor concerning any errors, contact Donn Smith or Kirk Pate.

d. Errors in the Report

PT&E Reports with the following errors cannot be processed and will be delayed until the error is resolved:

(1) The report is unsigned (unsigned reports will be returned to you).

(2) Mileage is reported but there is no corresponding travel time, or vice versa.

(3) The explanation of "other" time is inadequate or missing.

(4) Miscellaneous expenses are not explained.

(5) A receipt for an expense exceeding $1.00 is missing.

(6) An incentive payment is not supported by a properly completed Respondent's Agreement (white copy).

(7) Charges appear excessive and are not explained.

(8) Errors are so numerous that the report cannot be processed.

INTERVIEWER'S PRODUCTION, TIME, AND EXPENSE REPORT
RESEARCH TRIANGLE INSTITUTE

☒ ONE WEEK ☐ TWO WEEKS
WEEK BEGINNING SUNDAY, June 8, 1980 ☐ DID NOT WORK

RTI PROJECT NO. 20032
ACTIVITY NO.

A	B	C								D		
	Production	Hours Worked								Expenses		
Day of Week	Number of Completed Interviews	1* Total Hours Each Day	2 Study/ Training	3 Travel	4 Contacting/ Locating	5 Interviewing	6 Editing	7 Conference	8† Other	1 Miles Driven	2‡ Miscellaneous Expenses	3§ Incentives Paid
Sun												
Mon	3	6.25		.75	1.00	4.25	.25			33		40.00
Tues	2	6.00		1.25	2.25	2.25	.25			48		20.00
Wed	3	7.50		1.75	3.00	2.50	.25			74	.50	20.00
Thurs	2	8.00		1.00	2.00	4.50	.50			39		40.00
Fri	2	4.00		.50	.50	2.50	.25	.25		22	1.15	20.00
Sat												
Sun												
Mon												
Tues												
Wed												
Thurs												
Fri												
Sat												
TOTALS	12	31.75		5.25	8.75	16.00	1.50	.25		216	1.65	140.00

FOOTNOTE EXPLANATIONS:
*Enter total hours worked each day to the nearest .25 hour; then allocate time as appropriate in columns C-2 through C-8. Partial hours must be expressed in decimal form rather than as fractions.
†Specify activity in the Notes section below.
‡Document each expense on reverse side and attach receipts for each expense in excess of $1.00.
§Make certain that the white and green copies of the Agreement and Receipt are attached.

FOR OFFICE USE ONLY

SUMMARY:

Total Hours (Col. C-1) _____ X $_____ = $_____
Overtime _____ X $_____ = $_____
Total Miles (Col. D-1) _____ X $_____ = $_____
Total Miscellaneous Expenses (Col. D-2) = $_____
Less Deductions = ($_____)
Total Amount Due = $_____

Approved by _____ Date _____

I certify that this statement is true, correct and complete; that the data collected and submitted are truthful; and that I work as an employee of Powerforce Company, Inc.

FI Name Dennis G. Barnes (please print) FI No. 536 Date 6/13/80

FI Signature Dennis G. Barnes Social Security No. 179-24-7505

Address 17 Fairway Drive (Number) (Street)

Athens (City) Georgia (State) 22556 (Zip)

Telephone number (404) 516-8501

NOTES

FOR OFFICE USE ONLY

Key Operator ID No

85 Disposition: Send original and yellow copy to RTI; send pink copy to supervisor; retain gold copy (cords.

RTI 010 11/79

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DOCUMENTATION OF MISCELLANEOUS EXPENSES

(Attach receipts for each expense in excess of $1.00.)

Date	Charge	Explanation of charges	Check if receipt attached
6/10/80	.50	Severn River Bridge Toll	X
6/12/80	1.15	Georgia Turnpike Toll	X

NOTES